

# Risk Management

MANSCEN Safety  
Office



# Agenda

- **Risk Management (RM):**
  - **Why We Do It**
  - **What It Is**
  - **How It Is Done**

# Battle & Non-Battle Casualties

Rate\* per 1,000 soldiers and percent

<b>Army</b>	<b>W.W.II 1942-45</b>	<b>Korea 1950-53</b>	<b>Vietnam 1965-72</b>	<b>DS/S 1990-91</b>	<b>NTC FY93 (BLUFOR-GROUND)</b>
<b>Accident</b>	<b>95.57 56%</b>	<b>120.33 44%</b>	<b>154.66 54%</b>	<b>11.14 75%</b>	<b>2.23 3%</b>
<b>Friendly Fire</b>	<b>1.50*** 1%</b>	<b>3.03*** 1%</b>	<b>2.67*** 1%</b>	<b>.68 5%</b>	<b>7.87***** 9%</b>
<b>Enemy Action</b>	<b>73.61 43%</b>	<b>148.56 55%</b>	<b>131.20 45%</b>	<b>2.90 20%</b>	<b>74.17***** 88%</b>

\* Per 12 months for W.W.II, Korea and Vietnam; 14 months for DS/S; per rotation NTC.

\*\* Deaths and injuries (ground and aviation) for entire war/operation.

\*\*\* Research based estimate (2% of all direct- and indirect- fire losses).

\*\*\*\*\* Simulated (MILES) direct fire vehicle kills.

# Policy & Doctrine

- **FM 100-14, RISK MANAGEMENT, APRIL 1998**
  - Basic doctrinal document on risk management
  - Applies to all army activities, both army and civilian
- **FM 101-5, STAFF ORGANIZATION & OPERATIONS, MAY 1997**
  - Application of risk management during MDMP
  - Specific staff responsibilities relating to risk management
- **AR 385-10, ARMY SAFETY PROGRAM**
  - Policy on army safety management procedures
  - Information on commanders' responsibilities
  - Change 1 to AR 385-10 includes guidance for:  
    **“supervisory and operating personnel who direct or affect the actions of others will use the risk management process during the planning, preparation for, and execution of all operations for which they are responsible.”**

# Risk Management -- What is it?

- The process of identifying, assessing, and controlling hazards arising from operational factors and making decisions that balance
- the risk costs with mission benefits. ~~It is not an excuse to avoid a tough mission.~~

# Risk Management Process



# Step 1: Identify Hazards

## *Risk Management Process*



➤ **Identify Hazards** The objective is to identify those hazards most likely to result in loss of combat power and to protect the force



# Terminology

- ***Hazard*** - any actual or potential condition that can cause injury, illness, or death of personnel, damage to or loss of equipment, property or mission degradation.



# While You Are Doing This



## **Troop Leading Procedures**

- Receive The Mission**
- Issue The Warning Order**
- Make A Tentative Plan**

***DO THIS***



# **IDENTIFY HAZARDS**

# Identify Hazards - *Resources and Techniques*

- **Experience**
- **Brain Storming**
- **Experts**
- **Publications**
- **Accident Information**
- **Scenario Thinking**

# Tool: METT-TC Model

**Mission**- Specified, implied and subtasks.

**Enemy** - Size and capability (SALUTE).

**Terrain/Weather** - Environmental conditions.

**Troops and Equipment** -

-- Troops - training, type, number, and physical condition.

-- Equipment - amount, type, design, and condition.

**Time** available - plan, rehearse, and conduct .

**Civilians** - Refugees and local population

# **Risk Management Scenario**

# RISK MANAGEMENT WORKSHEET

PAGE 1 of 2

1. MSN/TASK : <b>Conduct Breaching Operations</b> PREPARED:	2. DTG <b>112400</b> <del>112400</del> <b>NovXX</b> 112400NovXX	3. DATE 1 Nov XX      END :
4. PREPARED BY: <u>1LT Oasis / Safety Officer, A Co / 22nd EN BN</u> <div style="text-align: center; font-size: small;">RANK/LAST NAME/DUTY POSITION</div>		

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Adverse environmental conditions: -Dry / Dusty -Wind -Cold						
Terrain conditions: -Steep ravines -Sandy areas -Loose rocks						

9. OVERALL RISK LEVEL AFTER CONTROLS ARE IMPLEMENTED (CIRCLE ONE):  <div style="display: flex; justify-content: space-around; font-weight: bold; font-size: 1.2em;"> <span>LOW</span> <span>MODERATE</span> <span>HIGH</span> <span>EXTREMELY HIGH</span> </div>	10. RISK DECISION AUTHORITY:  <div style="text-align: center; font-size: small;">RANK/LAST NAME/DUTY POSITION</div>
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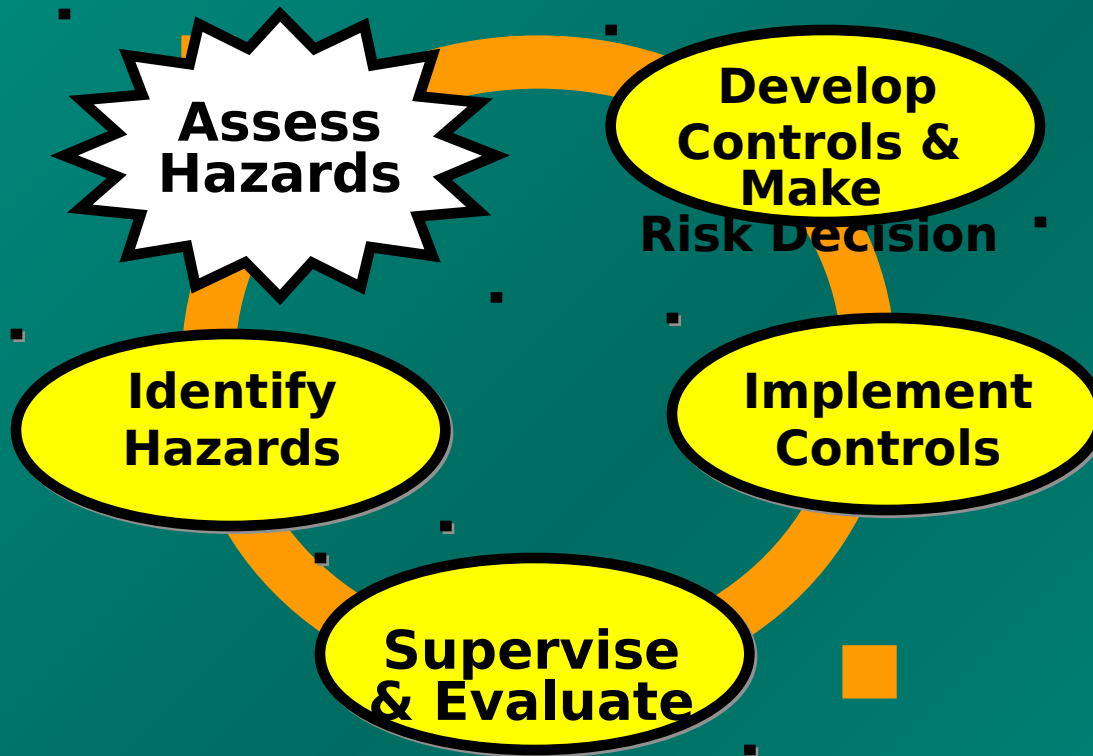
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Limited Visibility: -Night operations -Shortage of operational NVG's						
Continuous Operations						

# Step 2: Assess Hazards

## *Risk Management Process*



➤ **Assess Hazards** Assess hazards to determine risks. Assess the impact of each hazard in terms of potential loss and cost, based on probability and severity



# Assess Hazards - How?

- **Historical Data**
- **Intuitive Analysis**
- **Judgment**
- **Assessment Tool**

# Assessment Tool

## ***RISK ASSESSMENT MATRIX***

E - EXTREMELY HIGH RISK  
H - HIGH RISK  
M - MODERATE RISK  
L - LOW RISK

		PROBABILITY				
		FREQUENT	LIKELY	OCCASIONAL	SELDOM	UNLIKELY
<b>S E V E R I T Y</b>	CATASTROPHIC	<b>E</b>	<b>E</b>	<b>H</b>	<b>H</b>	<b>M</b>
	CRITICAL	<b>E</b>	<b>H</b>	<b>H</b>	<b>M</b>	<b>L</b>
	MARGINAL	<b>H</b>	<b>M</b>	<b>M</b>	<b>L</b>	<b>L</b>
	NEGLIGIBLE	<b>M</b>	<b>L</b>	<b>L</b>	<b>L</b>	<b>L</b>

# Terminology

- ***Risk Assessment*** - The Identification and Assessment of Hazards  
*(First Two Steps of the Risk Management Process)*

**An Accident Sequence  
Begins Days, &  
Sometimes  
Months Before  
the Impact  
or Crash**



**To Break this Chain of Events  
YOU Must Understand & Apply the  
Entire Risk Management Process**

# What are the Risks to the Force?

- ✓ **Accidental Deaths and Injuries**
- ✓ **Civil and Criminal Liabilities**
- ✓ **Loss of Command Trust and Confidence**
- ✓ **Loss & Theft of Material & Funds**
- ✓ **OPSEC & Passive Security Violations**
- ✓ **Fratricide**
- ✓ **Diseases/Illnesses**
- ✓ **The Threat**

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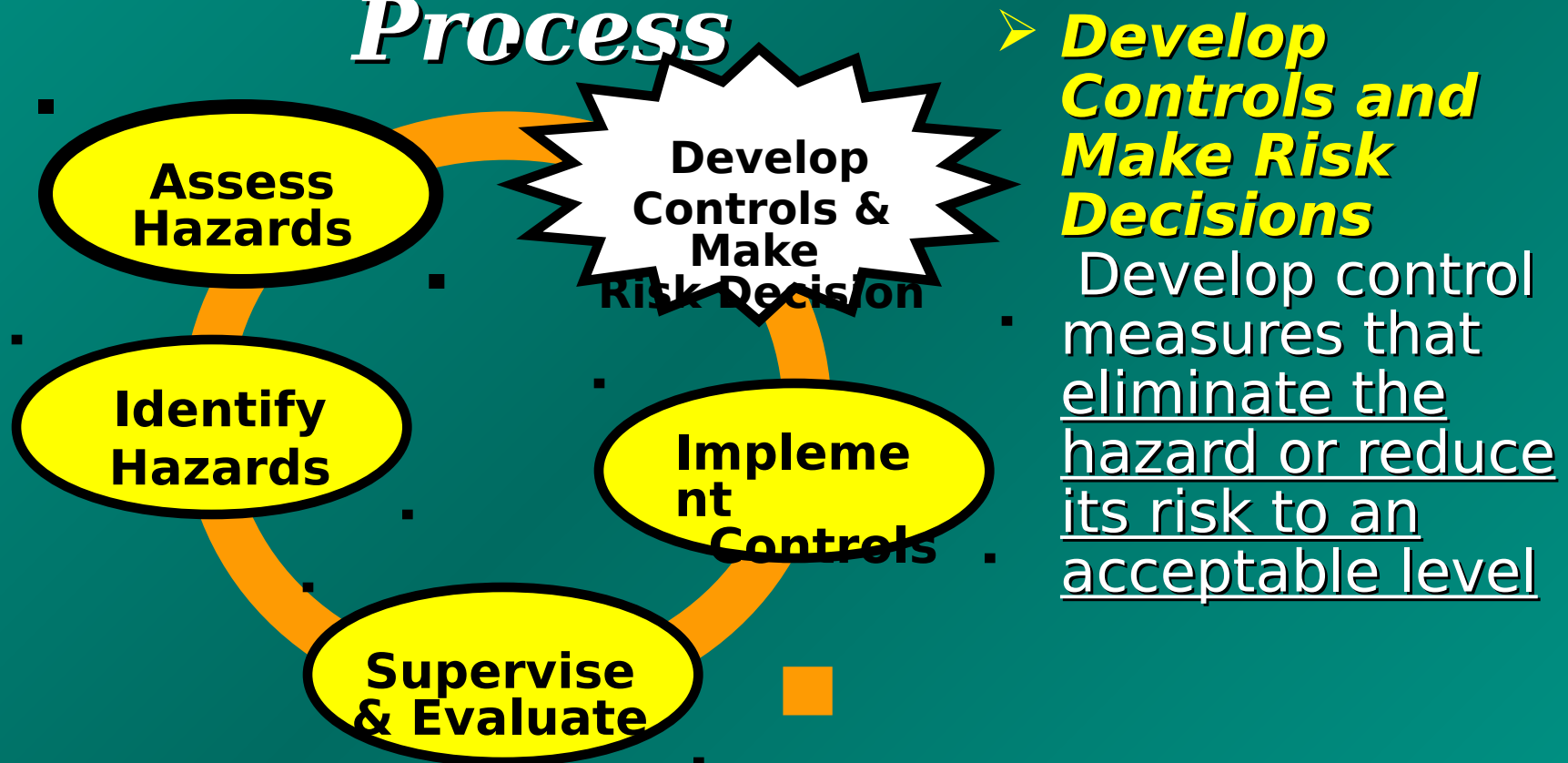
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# Step 3: Develop Controls & Make Decision

## *Risk Management Process*



# While You Are Doing This



## Troop Leading Procedures

- Comparing Courses of Action
- Making Decision
- Expanding Selected COA Into a Tentative Plan

***DO THIS***



**DEVELOP CONTROLS AND MAKE RISK DECISIONS**

# Control Tool

Are the controls adequate?

Adequate  
YES NO

- Support - Is type/amount/capability/condition of support adequate to carry out the mission? - Personnel -Logistics - Intelligence		
- Standards - Is guidance/procedure adequately clear/practical/specific to the mission?		
- Training - Is training recent and to standard?		
- Leader - Are leaders ready, willing and able to enforce standards.		
- Individual/Unit - Is the soldier/unit prepared and rested sufficiently to perform the mission?		

# Who Does the Assessment?

**Everyone has a responsibility  
for assessment!**

➤ **Individual accountability**

**AND**

➤ **Organization accountability**

- **Staff Principals under the supervision of the XO/DCDR**

- **Key Leaders under the supervision of the higher echelon commander**

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Terrain conditions: -Steep ravines -Sandy areas -Loose rocks	H		Depart earlier so that troop movement can travel slower.						

9. OVERALL RISK LEVEL AFTER CONTROLS ARE IMPLEMENTED (circle from): <div style="display: flex; justify-content: space-around; align-items: center;"> <span><b>LOW</b></span> <span><b>MODERATE</b></span> <span><b>HIGH</b></span> <span><b>EXTREMELY HIGH</b></span> </div>	10. RISK DECISION AUTHORITY:  <div style="text-align: center; font-size: small;">RANK/LAST NAME/DUTY POSITION</div>
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Limited Visibility: -Night operations -Shortage of operational NVG's	E	Hand receipt NVG's from TF.  Collect all NVG's and redistribute based on mission priorities.				
Continuous Operations	H	Establish sleep/rest plans				

# Make Risk Decisions

- **Determine anticipated residual risk for each hazard as if the control is in place**

- Should never be higher than the initial risk

- **Determine the overall mission risk level**

- Should not be lower than the highest residual risk
  - Based on command guidance or SOP



# How & When the Decision is Made

## How & When?

- Staff Principals present controls with courses of action during planning
- Key leaders present the risks to the command [during backbriefs]
- During AARs decisions may be reassessed

# Make Risk Decisions - A Recap

- **Make an informed risk decision at the *appropriate level* of command.**
- **Accept risks only if the *benefits* outweigh the costs or losses.**
- **If the risk is too high, elevate to next decision level.**

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9. OVERALL RISK LEVEL AFTER CONTROLS ARE IMPLEMENTED (circle the correct one):

LOW      MODERATE      **HIGH**      EXTREMELY HIGH

10. RISK DECISION AUTHORITY:

LTC BLAST, COMMANDER

RANK/LAST NAME/DUTY POSITION

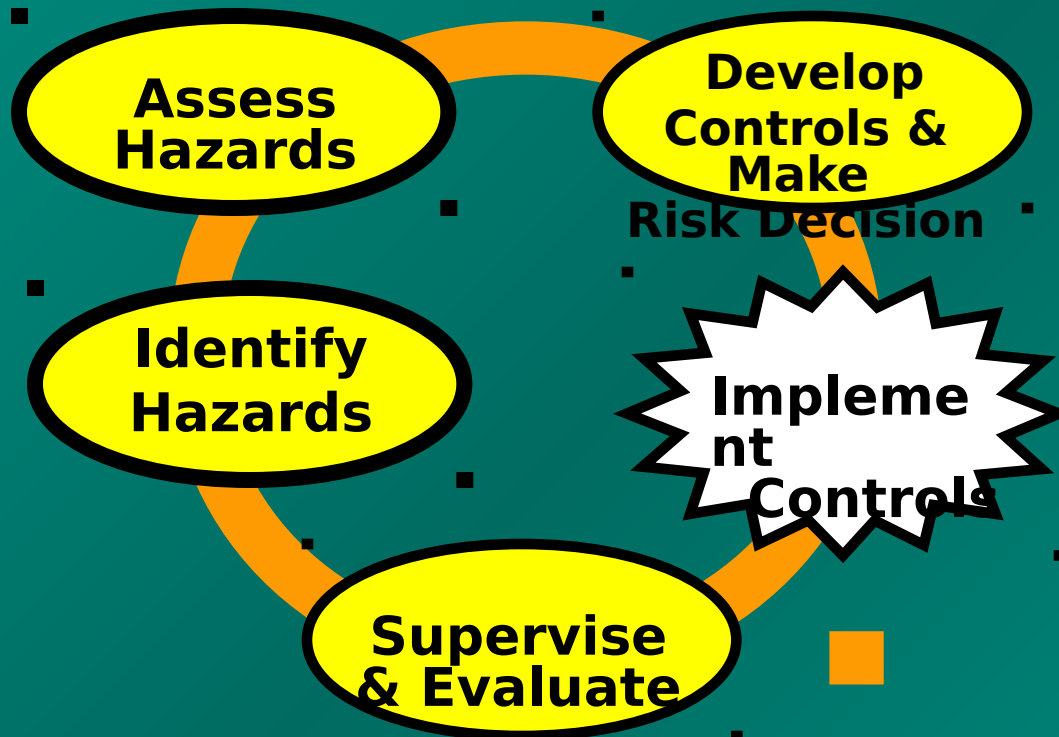
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Continuous Operations	H	Establish sleep/rest plans	M			

# Step 4: Implement Controls

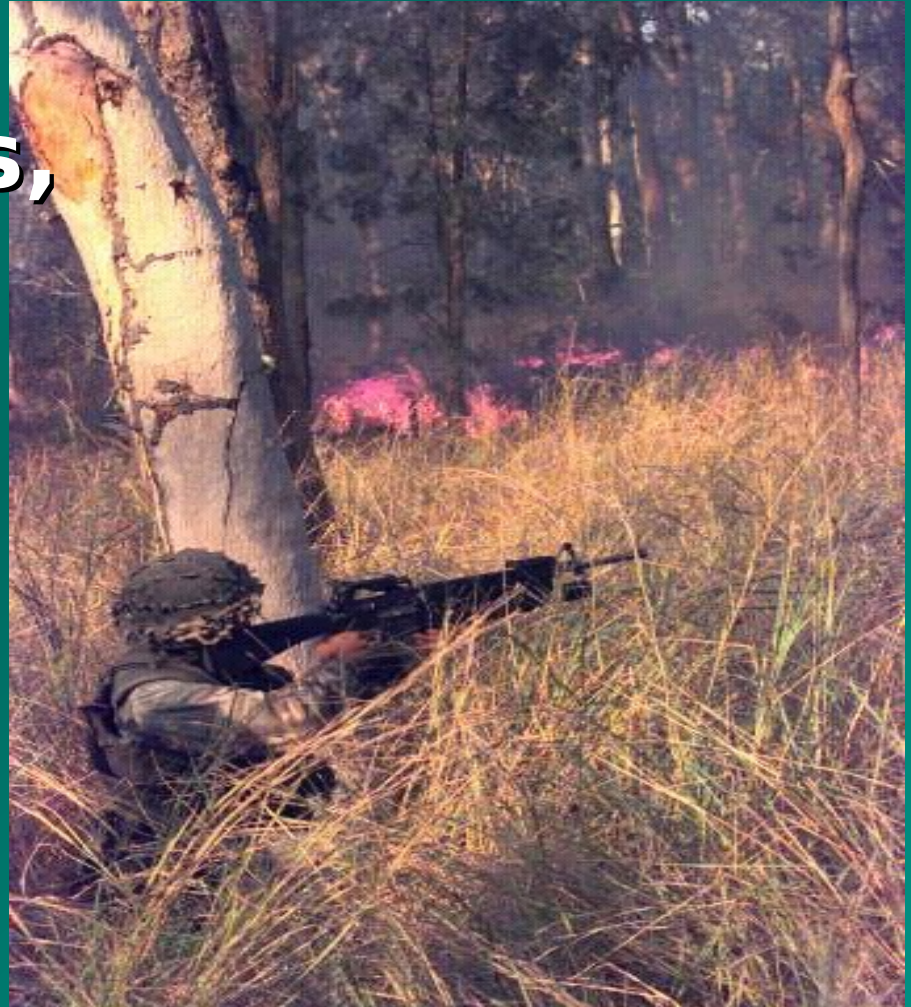
## *Risk Management Process*



➤ **Implement Controls**  
Put controls in place that eliminate the hazards or reduce their risks

# Implementation Methods

- **Regulations, Policy Letters, & SOP'S**
- **Orders**
- **Briefings & Back-Briefs**
- **Training**
- **Rehearsals**





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Terrain conditions: -Steep ravines -Sandy areas -Loose rocks	H	Depart earlier so that troop movement can travel slower.	L	OPORD		

9. OVERALL RISK LEVEL AFTER CONTROLS ARE IMPLEMENTED: **LOW** **MODERATE** **HIGH** **EXTREMELY HIGH**

TACSOP & OPORD  
 one arm intervals.

10. RISK DECISION AUTHORITY:

**LTC BLAST, COMMANDER**

RANK/LAST NAME/DUTY POSITION



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# Step 5: Supervise & Evaluate

## *Risk Management Process*



### ➤ ***Supervise & Evaluate***

**Perform to, and enforce standards and controls. Evaluate the effectiveness of controls and adjust/update as necessary**

# Supervise

**Leaders, Supervisors, and  
Individuals are Responsible  
for Ensuring Standards and  
Controls are Followed and  
Enforced**

# Evaluate

## Evaluation Is Everyone's Responsibility!

**Evaluation is:**

- ✓ **Conducted during the execution phase of an operation**
- ✓ **Conducted formally after the operation. Should be considered as mission planning for the next iteration of that task or mission**

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Adverse environmental conditions: -Dry / Dusty -Wind -Cold	H	Conduct training on desert weather and terrain.  Ensure soldiers have appropriate cold weather / desert equipment	M	Opportunity Trng  OPORD	Direct Sprv PCC / PCI	
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Continuous Operations	H	Establish sleep/rest plans	M	OPORD	Direct Sprv	

# Risk Management Process - A Recap



# RISK MANAGEMENT STANDARD

- The standard for RM is **“making an informed decision at the appropriate level.”**
- The challenge to leadership is to ensure everyone involved in the RM process understands the standard and what must happen in order to achieve the standard.



# Commander's Focus

- We will seek optimum, not adequate performance
- We will select risk reduction options provided by my staff and seek guidance from higher
- We will accept or reject residual risk based on the benefit to be derived
- We will train and motivate leaders at all levels to use Risk Management

# Staff Mission

- Assist the commander in assessing risk and developing controls
- Integrate control measures in plans and orders. Validate
- ~~Eliminate unnecessary safety restrictions that diminish training opportunities.~~ during AARs
- Supervise implementation - adjust controls based on METT-T.

# Mission of Troop Leaders

- **Consistently apply effective risk management of operations they lead.**
- **Report risk issues beyond their control to their superiors for resolution.**
- **Develop mission oriented controls.**

# Tools & References

## ■ MANSCEN Safety Office Home Page (<http://www.wood.army.mil/safety>) (573) 596-0116 or DSN 581-0116

- Engineer Branch Specific Issues
- Training Packages
- RM Tools

## ■ MANSCEN Risk Management Toolbox

- Work Sheets
- Cards
- Regulations and Policy Letters
- Briefing Formats for most every occasion
- Chain Teaching Package
- POV Risk Management System

# Questions and Discussion